

DOE F 4620.1

(04-93)

All Other Editions Are Obsolete

U.S. Department of Energy

Budget Page

(See reverse for Instructions)

OMB Control No.

1910-1400

OMB Burden Disclosure
Statement on Reverse

| | | | | | | | |
|---|--|--|---|------------------------------------|-----------------|---------------|--------|
| ORGANIZATION | | | | Budget Page No: _____ | | | |
| PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR | | | | Requested Duration: _____ (Months) | | | |
| A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title; A.6. show number in brackets) | | | DOE Funded | | Funds Requested | Funds Granted | |
| | | | Person-mos. | | | | |
| | | | CAL | ACAD | SUMR | by Applicant | by DOE |
| 1. | | | | | | | |
| 2. | | | | | | | |
| 3. | | | | | | | |
| 4. | | | | | | | |
| 5. | | | | | | | |
| 6. () OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE) | | | | | | | |
| 7. () TOTAL SENIOR PERSONNEL (1-6) | | | | | | | |
| B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS) | | | | | | | |
| 1. () POST DOCTORAL ASSOCIATES | | | | | | | |
| 2. () OTHER PROFESSIONAL (TECHNICIAN, PROGRAMMER, ETC.) | | | | | | | |
| 3. () GRADUATE STUDENTS | | | | | | | |
| 4. () UNDERGRADUATE STUDENTS | | | | | | | |
| 5. () SECRETARIAL - CLERICAL | | | | | | | |
| 6. () OTHER | | | | | | | |
| TOTAL SALARIES AND WAGES (A+B) | | | | | | | |
| C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS) | | | | | | | |
| TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C) | | | | | | | |
| D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM.) | | | | | | | |
| TOTAL PERMANENT EQUIPMENT | | | | | | | |
| E. TRAVEL | | | 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS) | | | | |
| | | | 2. FOREIGN | | | | |
| TOTAL TRAVEL | | | | | | | |
| F. TRAINEE/PARTICIPANT COSTS | | | | | | | |
| 1. STIPENDS (Itemize levels, types + totals on budget justification page) | | | | | | | |
| 2. TUITION & FEES | | | | | | | |
| 3. TRAINEE TRAVEL | | | | | | | |
| 4. OTHER (fully explain on justification page) | | | | | | | |
| TOTAL PARTICIPANTS () TOTAL COST | | | | | | | |
| G. OTHER DIRECT COSTS | | | | | | | |
| 1. MATERIALS AND SUPPLIES | | | | | | | |
| 2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION | | | | | | | |
| 3. CONSULTANT SERVICES | | | | | | | |
| 4. COMPUTER (ADPE) SERVICES | | | | | | | |
| 5. SUBCONTRACTS | | | | | | | |
| 6. OTHER | | | | | | | |
| TOTAL OTHER DIRECT COSTS | | | | | | | |
| H. TOTAL DIRECT COSTS (A THROUGH G) | | | | | | | |
| I. INDIRECT COSTS (SPECIFY RATE AND BASE) | | | | | | | |
| TOTAL INDIRECT COSTS | | | | | | | |
| J. TOTAL DIRECT AND INDIRECT COSTS (H+I) | | | | | | | |
| K. AMOUNT OF ANY REQUIRED COST SHARING FROM NON-FEDERAL SOURCES | | | | | | | |
| L. TOTAL COST OF PROJECT (J+K) | | | | | | | |

**INSTRUCTIONS FOR COMPLETING
BUDGET PAGE (DOE Form 4620.1)**

I. General

- a. Each new, renewal and supplemental application must contain Budget Pages in this format unless a pertinent program notice guideline specifically provides otherwise. A separate Budget Page must be completed for each year of support requested.
- b. Continuation funding will not require a budget page unless the amount proposed for funding is either 25% over or under the original recommended amount of support for that period. A cover letter signed by the applicant organization official and the Principal Investigator (PI) must accompany this budget and should be forwarded to the U.S. Department of Energy (DOE) Project Officer listed in item 11 of the DOE Financial Assistance Award.
- c. Duplication of this form and instructions may be done by applicants as DOE will not provide additional copies beyond what is contained in the application kit and guide.

EACH BUDGET ITEM MUST BE JUSTIFIED ON CONTINUATION PAGES FOLLOWING THE BUDGET PAGE.

In addition to a full discussion of the budget items needed to carry out the proposed work the following information is mandatory to be included on the budget justification continuation pages in order to be considered a complete application.

- A. "Senior Personnel": List any personnel, funds requested for salary, and the number of person months to be funded. Include any additions in Item A6 on the Budget Page.
- B. All "Other Personnel": Must be listed individually, their rate of pay and % as well as length of time working on the project. Also include a written narrative that fully justifies the need for all requested personnel.
- C. "Fringe Benefits": Must include the current fringe benefit rate established for the applicant organization as well as the total cost or a list of cost and type for each individual employed on the project. Tuition remission for undergraduate or graduate students working on the project must be included in this category or listed as a separate line item in the "Other Category" depending on the applicant organization's system of reporting.
- D. "Equipment": List each item, its cost and reason it is needed for the project.
- E. "Travel": List each trip's destination, dates, estimated cost including transportation and subsistence, number of staff traveling and the purpose of the travel and how it relates to the project. This category should include the amounts needed for staff on the project as well as for travel associated with any consultants working on the project.
- F. "Trainee/Participant Costs": Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as that needed under the regular travel category, Item E), and costs for any other related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and the breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses.
- G. "Other Direct Costs".
 1. Materials & Supplies: Indicate types required and estimate costs.
 2. Publication Costs/Documentation/Dissemination: Estimate cost of preparing and publishing project results.
 3. Consultant Services: Indicate name, daily compensation, number of days service required and justify.
 4. Computer (ADP) Services: Include justification based on established computer service rates at the proposing institution. Purchase of equipment is included under D.
 5. Subcontracts: Include a budget and justify details.
 6. Other: Itemize and justify details. Under this item list tuition remission for students employed to work on this project listed under personnel category. (Do not include tuition remission if this cost is included under the fringe benefit category).
- H. Total Direct Costs: (A through G)
- I. Indirect Costs: Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating Agency.
- J. Total Direct and Indirect Costs: (H + I)
- K. Amount of any required cost-sharing from non-Federal sources.
- L. Total Cost of Project (J + K)
- M. The personnel categories listed in Part A and Part B of the Budget Page are defined as follows:

A. Senior Personnel

1-5. (Co) Principal Investigator(s) are individual(s) so designated by the grantee institution. A Faculty Associate (faculty member) is an individual-other than the Principal Investigator-who is considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

B. Other Personnel

1. A Postdoctoral Associate is an individual who received a Ph.D., M.D., D.Sc. or equivalent degree less than 5 years ago, who is not a member of the faculty of the performing institution, and who is not reported under Senior personnel above.
2. Other Professional is a person who may or may not hold a doctoral degree or its equivalent who is considered professional and is not reported as a Principal Investigator, faculty associate, postdoctoral associate, or student. Examples of persons included in this category are doctoral associates not reported under B1 above, professional technicians, mathematicians, physicians, veterinarians, systems experts, computer programmers, and design engineers.
3. A Graduate Student (Research assistant) is a part-time or full-time student working on the project in research capacity who holds at least a bachelor's degree or its equivalent and is enrolled in a degree program leading to an advanced degree.
4. An Undergraduate Student is a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor's degree.
5. 5&6. These include persons working on the project in a non- research capacity such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians, and custodial personnel, regardless of whether they hold a degree or are involved in degree work.

NOTE: Any personnel category for which funds are requested should indicate the number of persons expected to receive some support and where called for on the budget format, the full-time equivalent (FTE) person-months to the nearest tenth.

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, HR-4.3, Paperwork Reduction Project (1910-1400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1400), Washington, DC 20503.